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02/05/01

PTO/SB/05 (11-00)

# UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No.	289002051900
First Inventor	Toshio HATA et al.
Title	NITRIDE GALLIUM COMPOUND SEMICONDUCTOR LIGHT EMISSION DEVICE
Express Mail Label No.	EL569236490US

## CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL569236490US

Date of Deposit: February 1, 2001

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Toshio HATA

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
BOX PATENT APPLICATION  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g. PTO/SB/17) (1 page)  
(Submit an original, and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification  
(Uniform arrangement set forth below) [Total Pages 42]  
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims(s)
  - Abstract of the Disclosure

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - ☐ Specification Sequence Listing on:
    - CD-ROM or CD-R (2 copies), or
    - paper
  - ☐ Statements verifying identity of above copies

- ☒ Drawing(s) (35 USC 113) [Total Sheets 13]
- ☒ Oath or Declaration [Total Pages 2]
  - ☒ Newly executed (unexecuted)
  - ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(a)(2) and 1.33(b)

### ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement [Power of Attorney] (where there is an assignee)
- ☐ English Translation document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
Should be specifically itemized
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Check in the Amount of \$710.00 (Filing Fee)

### 18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_

Prior application Information:

Examiner

Group / Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Customer Number or Bar Code Label

### 19. CORRESPONDENCE ADDRESS



25226

PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

Name	Thomas E. Clott			(Insert Customer No. or Attach bar code label here)	
Address	Morrison & Foerster LLP				
City	755 Page Mill Road				
Country	Palo Alto	State	CA	Zip Code	94304-1018
Name (Print/Type)	Thomas E. Clott	Telephone	(650) 813-5800	Fax	
Signature	Thomas E. Clott		Registration No.	Agent/Agent	21,613
Date: February 1, 2001					

# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$710.00

Complete if Known

Application Number To Be Assigned  
Filing Date February 1, 2001  
First Named Inventor Toshio HATA et al.  
Examiner Name To Be Assigned  
Group Art Unit To Be Assigned  
Attorney Docket No. 299002051990

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1952  
Deposit Account Name Morrison & Foerster LLP

- ☒ Charge Any Additional Fees or Credit any Overpayments Required Under 37 CFR 1.16 and 1.17 to the Above Deposit Account Number. Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) \$710.00

### 2. EXTRA CLAIM FEES

Total Claims	11-20*	Extra Claims	Fee from below	Fee Paid
Independent Claims	1-3*	0	x	\$0
Multiple Dependent		0	x	\$0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims, if not paid
109	80	209	40	*Release independent claims over original patent
110	18	210	9	*Release claims in excess of 20 and over original patent

SUBTOTAL (2) \$0

\*\* or number previously paid, if greater; For reissues, see above.

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within first second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	800	244	300	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Sheet	
561	40	561	40	Recording each patent assignment per properties (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$0

## SUBMITTED BY

Name (Print/Type) Thomas E. Ciotti  
Signature *Thomas E. Ciotti*  
Registration No. (Attorney/Agent) 21,013  
Telephone 415-813-5600  
Date February 1, 2001

Complete (if applicable)

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